



10 ADMINISTRATION
10.12 Monitoring of Local Agencies

Effective: 6/1/96
Revised: 08/07/06
Changes in bold

POLICY: The State Agency shall establish an on-going system of monitoring. "The State Agency shall conduct monitoring reviews of each local agency once every two years. Such reviews shall include on-site reviews of a minimum of 20 percent of the clinics in each local agency or one clinic, whichever is greater." Per Federal Regulation CFR 246.19.

BACKGROUND:

The objectives of local agency monitoring are to:

- 1) Improve and maintain quality services by evaluating the effectiveness and efficiency of program management and the provision of WIC services to participants;
- 2) Provide documentation of accountability by grantees utilizing a uniform format;
- 3) Systematically assess compliance with Federal WIC and **FMNP** Regulations identified in State WIC Program and **FMNP** policies and procedures; and
- 4) **Assure compliance with WIC Program Quality Criteria identified in the Division of Public Health Performance Based Contracts.**

PROCEDURE:

A. MONITORING TOOLS

1. **The State-developed WIC and FMNP monitoring tools will be used for the local agency biennial monitoring. There are several tools that assess compliance to Federal and State requirements. Quality measurements are addressed in the required tools and in supplemental materials related to best practices.**

B. TIMING OF MONITORING

1. **The Regional Office Public Health Nutrition Consultant will conduct a complete monitoring of each local agency at least once every two years. One option is to use all the monitoring tools during one calendar year. Another option is to divide the monitoring tools to review the project several times during the two-year period.**



2. Newly funded projects are subject to quarterly reviews during its first year of operation. **During the second year, a complete monitoring is done.**
3. **The Consultant may conduct monitoring visits when determined to be necessary in the interest of efficiency and effectiveness of the program. The Consultant will determine the timing of visits based on project need (new staff, new sites, problem areas, etc.)**

C. REGIONAL OFFICE PUBLIC HEALTH NUTRITION CONSULTANT RESPONSIBILITIES

1. The Consultant may use discretion when monitoring projects using the monitoring tools, and tailor the monitoring process based on the:
 - a) experience of the Consultant
 - b) review of past monitoring visits
 - c) number of new local project staff
 - d) history of the project
 - e) training received by project staff
2. Planning for Monitoring Visits
 - a) **The Consultant will track dates that projects were monitored and which tools were used.** Twenty percent of the certification clinics in each project, or one clinic, whichever is greater, must be monitored.
 - b) **The dates, locations and monitoring activities will be scheduled.**
 - c) **The WIC Program and FMNP monitoring tools will be distributed by the Consultant to projects for the monitoring process and/or self-evaluation. The tools to be provided are the Self-Assessment Monitoring Tool, the Document Review Tool, the Observation Tool, and the File Review Tool.**
 - (1) **The Self-Assessment Monitoring Tool must be completed by local project staff in advance of the visit and according to the directions on the tool. It must be submitted to the Consultant two weeks before the monitoring visit.**
 - (2) **The Document Review Tool lists the documents that staff should collect in advance of completing the Self-Assessment Monitoring Tool**



and those to be reviewed by the Consultant during the project office or clinic visit.

- (3) **The Observation Tool focuses on all items that can be observed during a clinic visit and will be completed by the Consultant.**
- (4) **The File Review Tool is completed by project staff and reviewed by the Consultant.**

3. Items Reviewed at the Regional Office Before Conducting the Visit

- a) **A review of the completed Self-Assessment Monitoring Tool will establish areas needing discussion or clarification.**
- b) Reassess the previous years' WIC and **FMNP** monitoring follow-up letter(s) and response(s) to identify all corrective actions.
- c) Recurring problems brought up in technical assistance visits, regional meetings, correspondence, or notes related to project activities from Central Office or **Milwaukee County WIC Office** staff will be discussed.

4. At the Local Agency

- a) **At the entrance conference, the Consultant will discuss objectives of the visit.** The WIC Director may invite other agency members involved in oversight of WIC Program activities.
- b) **The monitoring will include: 1) a discussion of the completed Self-Assessment Monitoring Tool; 2) a review of the written summary of the File Review(s); 3) interviews with fiscal staff to complete the Fiscal Tool; 4) observation of clinic, food instrument issuance and nutrition education recorded on the Observation Tool; 5) a review of documents on the Document Review Tool (a review of some Quality Criteria); and 6) answering staffs' questions. In addition, Client Feedback Forms may be completed by WIC participants or by the Consultant through an interview.**
- c) Determine if additional technical assistance is needed.
- d) **An exit conference is encouraged and may include any staff involved in the oversight of the project. During the exit conference, commendations for areas well-done, areas of attention and corrective action will be addressed.**

5. Follow-up at the Regional Office



- a) The Consultant will provide a monitoring report within **thirty (30) calendar days of the last monitoring visit made to the Project**. The report should **include commendation(s), area(s) of attention, and corrective action(s)**. The **location(s) and date(s) of clinic observation must be included in the report**.
- (1) Projects are required to submit a written **Corrective Action Plan with implementation timelines to the Consultant within thirty (30) calendar days of receipt**. **Responses to areas of attention are encouraged**.
 - (2) If the response is not satisfactory, the Consultant will contact the project for further clarification. Additional information should be provided by the Project Director within 10 working days.
 - (3) When the response is finalized, a Closeout Letter must be sent by the Consultant. **The letter must state that the monitoring process has been concluded and the letter closes out the monitoring for the calendar year**.
- b) **The WIC Director is encouraged to complete and send the WIC Monitoring Process Evaluation Form to the WIC Program Operations Coordinator. Although completion is optional, it will provide an opportunity to evaluate the monitoring process.**
- c) Copies of the monitoring reports and responses will be sent to an assigned program assistant at the State WIC Office and the Milwaukee County WIC Office staff (if applicable). **Send a typed copy of the Fiscal Tool to an assigned program assistant (it may be an electronic copy). A checklist of materials sent is available to assist in accuracy of documenting activities. The State WIC Office will send the Consultants the WIC Monitoring Tracking Form that records which projects' monitoring reports were received.**